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April 5, 2007

Via Facsimile 571.273.8300

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: Serial No.: 09/663,151
Method and System for Executing Trades in a User Preferred Security
Examiner: Narayanswamy Subramanian
Art Unit: 3624
Attorney Docket No.: 1302-1001

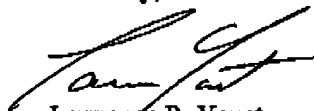
Dear Sir:

Enclosed for filing please find the following items (28 + 1 pages) relating to the above-identified application:

- (1) Response Under 37 CFR §1.111 (28 pages);

If you have any questions or comments concerning this matter, please call the undersigned at your earliest convenience. Otherwise, please accept the enclosed.

Sincerely,




Lawrence R. Youst
Reg. No. 38,795

Enclosures

Certificate of Transmission Under 37 C.F.R. §1.8

I hereby certify that this correspondence is being transmitted by facsimile
to the United States Patent and Trademark Office on April 5, 2007.



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Attorney Docket No. 1302-1001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Bradley J. Swearingen et al.
Serial No.: 09/663,151
Filed: September 15, 2000
Art Unit: 3624
Examiner: Narayanswamy Subramanian
For: Method and System for Executing Trades
in a User Preferred Security

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Response Under 37 C.F.R. § 1.111

Dear Sir:

This is a response to the Office Action dated January 5, 2007 and due for reply by April 5, 2007. In view of the following remarks, examination and allowance of the claims pending in this application is respectfully requested.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks/Arguments begin on page 21 of this paper.